

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

FILE COPY

Applicant: Paulman, et al.)
)
Serial No.: 09/226,908)
)
Filed: January 8, 1999)
)
For: Folded, Bent and Re-Expanded)
Heat Exchanger Tube and)
Assemblies)

Examiner: Atkinson, C.
Group Art Unit: 3743

11002 U.S. PTO
09/918922
07/30/01

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Attached is form PTO-1449 listing a document that the Examiner may consider material to the prosecution of this application.

This document is submitted to ensure that the Examiner has the benefit of information of which Applicant is aware which the Examiner may consider material to the prosecution of this application. Entry of this document into the record is respectfully requested.

It is hereby certified that the documents referenced as A1, A2, B1 and B2 cited in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Information Disclosure Statement. The documents cited as A3, A4, A5, A6, A7, and A8 were cited in co - pending Application No. 08/798,615 in an Office Action by Examiner Atkinson.

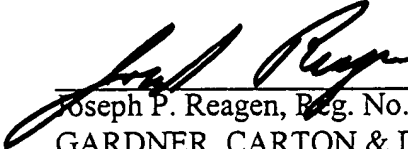
Please charge Deposit Account No. 07-0181 of Gardner, Carton & Douglas the requisite fee under 37 C.F.R. §1.17 (i)(1) one hundred thirty dollars (\$180.00) for filing this Information Disclosure Statement. The Commissioner is hereby authorized to charge any additional fees required to Deposit Account No. 07-0181.

This Information Disclosure Statement is intended to be in full compliance with the rules. Should any part of the required content have been omitted, prompt notice to that effect is earnestly solicited, along with additional time under 37 C.F.R. §1.97 (f) to enable Applicant to fully comply.

Respectfully submitted,

7/3/01
Date

Docket No: P97,1853


Joseph P. Reagen, Reg. No. 35,332
GARDNER, CARTON & DOUGLAS
321 North Clark Street, Suite 3400
Chicago, Illinois 60610-4795
Tel: (312) 644-3000
Fax: (312) 644-3381

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Roger Paulman et al. ATTORNEY DOCKET NO.: P97,1853
SERIAL NO: 09/226,908 GROUP ART UNIT: 3743
FILING DATE: January 8, 1999
INVENTION: "FOLDED, BENT AND RE-EXPANDED HEAT EXCHANGER TUBE AND ASSEMBLIES "

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

Assistant Commissioner for Patents
Washington, D.C. 20231

S I R:

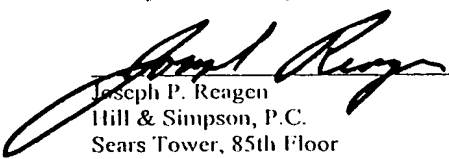
Submitted herewith is an Information Disclosure Statement for consideration in the above-identified application. This Information Disclosure Statement is submitted:

- ☒ Within three months (1) of filing date of a national application; (2) of date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application; or (3) before the mailing date of a first Office Action on the merits, whichever occurs last. (No fee is required.)
- ☐ After the mailing date of a first Office Action but before (1) mailing of a final action under 37 C.F.R. §1.113; or (2) mailing of a notice of allowance under §1.311, whichever occurs first.
- ☐ Payment of the fee set forth in 37 C.F.R. §1.17(p) accompanies this submission; or
- ☐ The certification specified in 37 C.F.R. §1.97(c) is made below. (No fee is required.)
- ☐ After the mailing of (1) a final action under 37 C.F.R. §1.113; or (2) notice of allowance under 37 C.F.R. §1.311 whichever occurs first, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(c) is made below. The Commissioner hereby is petitioned to consider the Information Disclosure Statement accompanying this submission. Payment for the Petition fee set forth in 37 C.F.R. §1.17(i)(1) accompanies this submission.
- ☐ The undersigned counsel for applicant(s) hereby certifies each item of information identified in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ The undersigned counsel for applicant(s) hereby certifies that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, or to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of the statement.
- ☐ A check in the amount of \$_____ to cover any required fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 08-2290. *A duplicate copy of this sheet is enclosed for this purpose.*

Very respectfully,

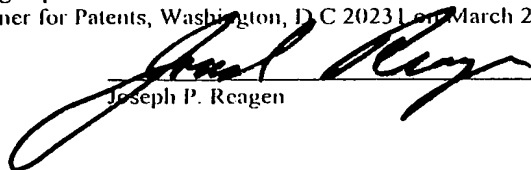
HILL & SIMPSON
A Professional Corporation

When phoning re. this application,
please call (312) 876-0200.


Joseph P. Reagen
Hill & Simpson, P.C.
Sears Tower, 85th Floor
Chicago, Illinois 60606
Telephone: (312) 876-0200

(Reg. No. 35,332)

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on March 26, 1999.


Joseph P. Reagen

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT



APPLICANTS: Roger Paulman et al. ATTORNEY DOCKET NO: P97,1853
SERIAL NO.: 09/226,908 GROUP ART UNIT: 3743
FILING DATE: January 8, 1999
INVENTION: "FOLDED, BENT AND RE-EXPANDED HEAT EXCHANGER TUBE AND ASSEMBLIES"

Asst. Commissioner of Patents
Washington, D.C. 20231

S I R:

In accordance with the provisions of 37 CFR §1.56, Applicants request that citation and examination of the references identified in the attached PTO-1449 form, be made during the course of examination of the above-mentioned application for U.S. patent. Since a first Office Action on the merits has not been mailed by the Patent Office, no fee is required for submitting this statement. Copies of the references were cited in or were filed with parent Application Serial No. 08/572,180, filed February 11, 1997. Accordingly, Applicants are not filing a duplicative set of references with this divisional application pursuant to 37 C.F.R. § 1.98(d).

REFERENCES

<u>PATENT NO.</u>	<u>PATENTEE</u>	<u>ISSUE DATE</u>
2,689,596	A. Huet	Sept. 21, 1954
3,780,799	Pasternak	Dec. 25, 1973
3,796,258	Malhotra et al.	Mar. 12, 1974
4,031,745	McCarty	June 28, 1977
4,365,667	Hatada et al.	Dec. 28, 1982

<u>PATENT NO.</u>	<u>PATENTEE</u>	<u>ISSUE DATE</u>
4,778,004	Paulman et al.	Oct. 18, 1988
4,881,311	Paulman et al.	Nov. 21, 1989
4,970,770	Jansson et al.	Nov. 20, 1990
5,154,679	Fuller et al.	Oct. 13, 1992
5,228,198	Paulman et al.	Jul. 20, 1993
5,535,820	Beagle et al.	Jul. 16, 1996

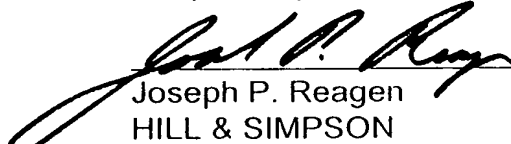
FOREIGN PATENT DOCUMENTS

<u>Document No.</u>	<u>Date</u>	<u>Country</u>
7 305980	21/11/95	Japan

REMARKS

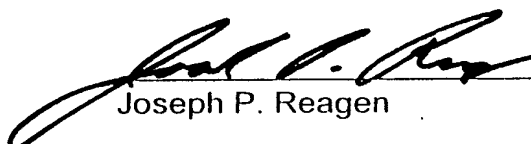
In view of the foregoing, Applicants submit that all claims of the application are patentably distinguishable over the teachings of the above references, taken singly or in combination. Early consideration of the application is, therefore, requested.

Respectfully submitted,

 (Reg. No. 35,332)
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 85th Floor - Sears Tower
 Chicago, Illinois 60606
 Telephone: (312) 876-0200
 Attorneys for Applicants

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Asst. Commissioner for Patents, Washington, D.C. 20231 on March 26, 1999.

 (Reg. No. 35,332)
 Joseph P. Reagen

+

Approved for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

1

Complete if Known

Application Number

09/226,908

Filing Date

January 8, 1999

First Named Inventor

Paulman

Group Art Unit

3743

Examiner Name

Atkinson, C.

Attorney Docket Number

P97,1853

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner
Signature**

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.¹ Unique citation designation number.² See attached Kinds of U.S. Patent Documents.³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**

CH02/22133381.1

37 CFR 1.501 INFORMATION DISCLOSURE STATEMENT IN A PATENT (use several sheets if necessary)					Docket No. P97,1853		Serial No. 09/226,908	
					Applicant Roger Paulman et al.			
					Filing Date January 8, 1999		Group Art Unit 3743	
U.S. PATENT DOCUMENTS								
Examiner's Initials		Document Number	Date	Name	Class	Subclass	Filing Date If appropriate	
	AA	2,689,596	10/21/54	A. Huet				
	AB	3,780,799	12/25/73	Pasternak				
	AC	3,796,258	03/12/74	Malhotra et al.				
	AD	4,031,745	06/28/77	McCarty				
	AE	4,365,667	12/28/82	Hatada et al.				
	AF	4,778,004	10/18/88	Paulman et al.				
	AG	4,881,311	11/20/90	Paulman et al.				
	AH	4,970,770	11/20/90	Jansson et al.				
	AI	5,154,679	10/13/92	Fuller et al.				
	AJ	5,228,198	07/20/93	Paulman et al.				
	AK	5,535,820	07/16/96	Beagle et al.				
FOREIGN PATENT DOCUMENTS								
		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	AL	7 305980	21/11/95	Japan				
	AM							
	AN							
	AO							
OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AP							
	AQ							
	AR							
	AS							
	AT							
Examiner			Date Considered					
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								

